

# Arizona Department of Corrections Back to Basics Reforms



# Transition Team

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- Normal Security Operations
- Programs

# Observations of Transition Team

- Environment – Professional and Operational Culture
  - Breakdown in core security practices
  - Ineffective communication
  - Inactive leadership

# How did we get to this position?

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- Retreat from Direct Supervision
  - Construction design
  - Policy Development
  - Training mode
- Recruitment and Retention issues

# Strategy

- Back to Basics approach to problem solving
  - Line staff and supervisors empowered as problem solvers
- Peer Review assessments of facility operations
  - Core competency testing of individual security personnel

# Peer Review

- Value of peer process
  - Acceptance
  - Increased credibility
- Identify team members
  - Individuals with strong background in leadership and core security practices
- Goal
  - Identify and assess core competencies and practices
  - Remediate deficiencies

# Methodology

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- Walk and talk
- Observe
- Listen
- Assure

# The Next Step

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- Three prong approach
  - Peer review assessment
  - Training strategy
  - Management review



# Peer Audit

- Identify
  - What to audit
  - Who to audit
  - How to audit
- Triage
- Action plan

# Core Competencies and Practices of Correctional Officers

	Competency	Duties/Tasks					
		1	2	3	4	5	6
1	<b>Conduct Searches</b>	Describe and perform an offender pat search	Describe and perform a strip search	Describe a vehicle search	Describe and perform an area search	Describe and perform a search using an electronic wand	Describe and perform procedures using a walk-thru scanner
2	<b>Offender Movement</b>	Describe offender movement within the unit	Describe offender movement outside the institution	Describe transport offenders within the unit	Describe transport offenders outside the institution	Distinguish between procedures for offender movement in small and large groups	Describe how to transport offenders during emergency situations
3	<b>Conduct Counts</b>	Describe an informal count (health and welfare check)	Describe a formal count (face to ID)	Perform informal counts	Perform formal count	Describe out counts	Describe work crew counts

# Training Strategy

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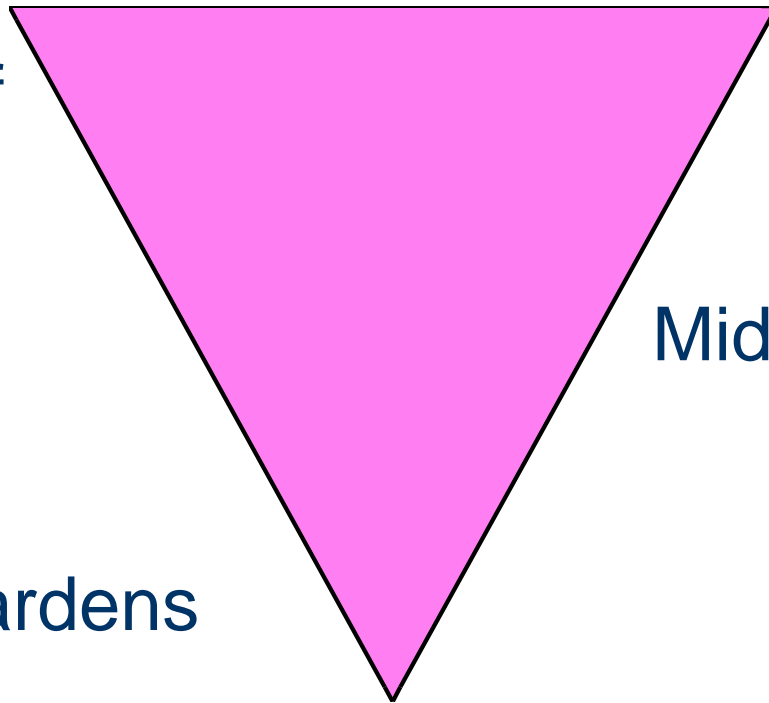
- Core competency testing
  - Core competency curriculum review

# Testing – Written Procedures

Line Staff

Mid Level

Wardens

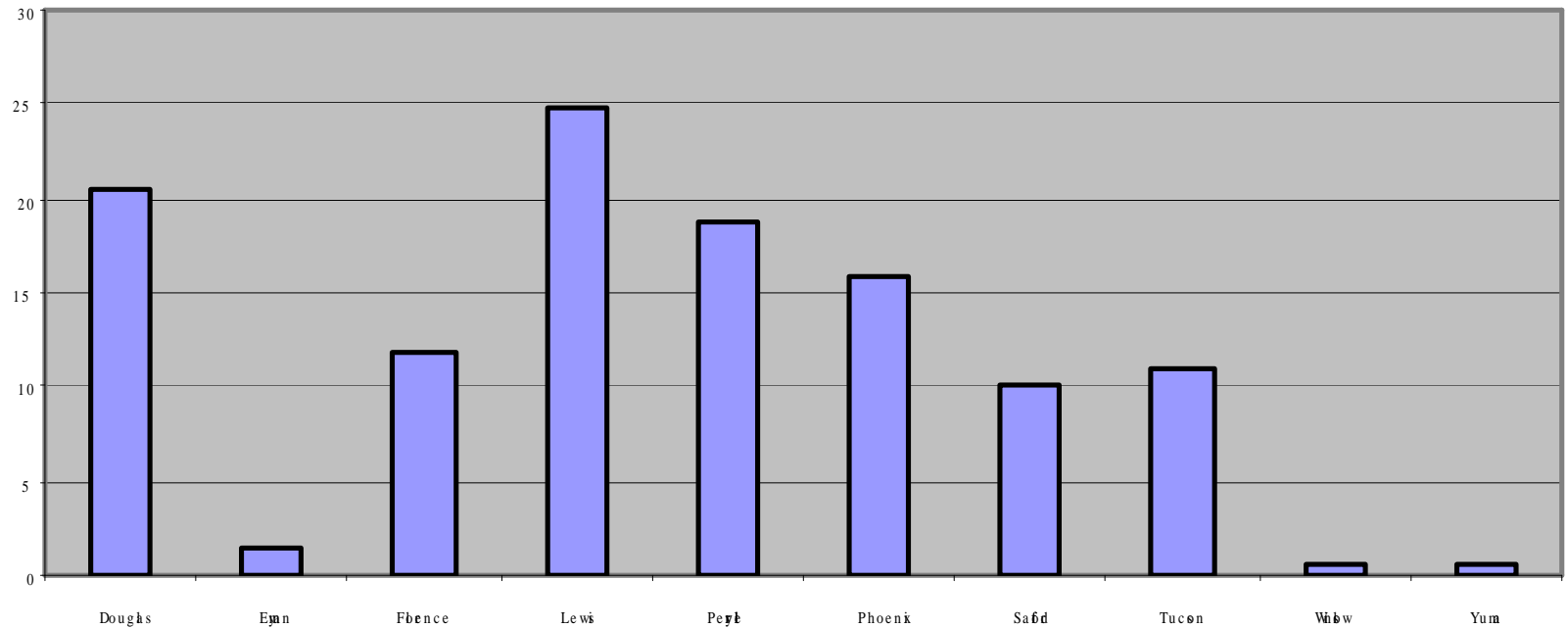


# Core Competencies and Practices of Correctional Officers Checklist

Core Competencies and Practices of Correctional Officers Checklist		
Employee Name: _____		
EIN: _____	Unit: _____	
Date: _____	Title: _____	
<b>Core Competencies</b>		
Conduct Searches	Pass	Fail
Perform an offender pat search		
Perform an offender strip search		
Perform a search using an electric wand		
Perform an area search		
Perform a vehicle search		
Perform procedures used with a walk-thru scanner		
Task Certifier Initials: _____		
Conduct Counts	Pass	Fail
Perform an informal count		
Perform a formal count		
Task Certifier Initials: _____		
Conduct a Security Device Inspection	Pass	Fail
Perform a security device inspection		
Apply Restraints	Pass	Fail
Apply handcuffs		
Apply leg chains		
Apply belly chains		
Task Certifier Initials: _____		
Practice Universal Cautions	Pass	Fail
Demonstrate possession of all required personal protective equipment		
Task Certifier Initials: _____		
Comments: _____		

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- On the job retraining (OJRT)

# Percentage of Correctional Officers Below 70%



Institution	CO II Total Tested	CO II Below 70%	Supervisors Total Tested	Supervisors Below 80%
ASPC-Douglas	400	98	85	24
ASPC-Eyman	977	16	199	9
ASPC-Florence	733	104	154	36
ASPC-Lewis	712	161	130	38
ASPC-Perryville	444	104	122	26
ASPC-Phoenix	217	45	79	24
ASPC-Safford	255	33	70	19
ASPC-Tucson	788	105	184	50
ASPC-Winslow	299	2	99	0
ASPC-Yuma	413	3	102	1
<b>Total</b>	<b>5238</b>	<b>671</b>	<b>1224</b>	<b>227</b>
<b>% Failed</b>		<b>12.28%</b>		<b>18.2 %</b>



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- Executive development

# Lessons Learned

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- More hands-on training
- Increased practicums
- Increased attention to routine security operations

# What's Next

- Pre-service Academy
- Annualize core competency testing
- Enhance Executive Development
- Career mapping
- Enhance tuition assistance
- On the job training
- Return to direct supervision

# Core Competency Testing

A written and hands-on practicum was developed that consisted of basic policies and practices that were taught in COTA.

Over 25% of Correctional Officers at Lewis failed to achieve a 70% passing grade.



# Core Competency Continued

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- 29% of ASPC-Lewis Correctional command staff which included Sgts., Lts., CO IVs, Capts., and Major scored below the 80<sup>th</sup> percentile.

# Leadership Development

It was determined that over 50% of Sergeants had not attended the Sgt. Leadership Academy or Professional Development program.

A Field Training Program was implemented.



# Audit Process

The primary goal was to implement a “peer” audit and provide training in core correctional practices.



# Peer Audit Implementation

ASPC-Lewis staff had become accustomed to seeing staff from other prisons and division on-site, that the presence of the audit teams was not disruptive to the employees whose areas were being inspected.





# Audit Findings

Operational and written instructions deficiencies were identified.

Equipment and physical plant deficiencies were identified.

Workplace cultural problems were identified.

Leadership deficiencies were identified.

# ASPC-LEWIS PEER AUDIT

Over 425 individual deficiencies were identified with 53 findings resolved on the spot and 372 required action plans for resolution.

Of the 372 findings initially unresolved, 351 were completed by the time of re-inspection with 21 findings unresolved due to fiscal limitations.

All but one were resolved within 30 days. The one remaining is pending capital improvement.

# Benefits Realized from the Audit

- The employee being inspected was able to learn from a subject matter expert.
- The process was non-confrontational and allowed employees to focus on making improvements.
- Allowed command staff to determine who was demonstrating sound competency, and who needed OJRT (On the job retraining).

# Benefits Realized from the Audit

- The process was a rallying point for staff to see great improvement in a short time.
- Staff's confidence in the leaders increased as the focus on back to basics and policy compliance was increased.
- Staff saw the benefits of the peer audit in their increased abilities to manage the offender population.
- The result was a more efficient operation with pride in performance and safety at the core of the workforce.

# Blue Ribbon Panel Implementation

[www.blueribbon.az.gov](http://www.blueribbon.az.gov)

- Tower security
- Inmate Work Assignments by security score
- Kitchen Security



# Blue Ribbon Panel Implementation

[www.blueribbon.az.gov](http://www.blueribbon.az.gov)

- Equipment
- Training
- Follow-up  
Inspections
- Staff appearance



# Getting It All Done

Through focused leadership and cooperation from staff, all the issues facing Lewis Complex could be addressed.

As one Lieutenant put it, “You brought back an old school approach that focused on the basics and instilled a sense of pride into what we do and represent.”

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